SMARTS USER'S MANUAL

SMARTS - Storm Water Multi Application and Report Tracking System

Caltrans

CALIFORNIA DEPARTMENT OF TRANSPORTATION
DIVISION OF CONSTRUCTION
MARCH 2012

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Introduction

The State Water Resources Control Board's (SWRCB) requires those operating under its permits to file electronically all permit related compliance documents using the Storm Water Multi Application and Report Tracking System (SMARTS).

SMARTS is an internet-based platform intended to provide transparency and consistency in how permit applications are prepared, processed and administered. It also constitutes a self-reporting system. The electronically submitted information is available to the public and regional water quality control boards (RWQCBs) via the internet. It allows the State Water Resources Control Board (SWRCB) and RWQCBs to prioritize regulatory task like inspections, view trends in compliance and provide data to the Legislature and the public access various submitted project documents.

The Division of Construction prepared this guide to enable the submittal of applications and other storm water-compliance documents for construction projects using SMARTS. As with many regulatory efforts, this transition is ongoing and a constantly changing process and this guidance will be revised as necessary to reflect changes in SMARTS and Caltrans procedures.

Submittals into SMARTS include:
- General project information
- Permit Registration Documents
- Annual reports
- Exceedance reports (Ad Hoc reports)
- Quarterly Non-storm water reports (Ad Hoc reports)
- Routine and storm event inspection reports

Retain hard copies of these electronic reports in the project files to satisfy record retention requirements.

The electronic entry and the layout of this manual consist of six steps:
Step 1: Establishing SMARTS user accounts.
Step 2: NOI submittal and certification.
Step 3: Ad Hoc reporting/continuous reporting.
Step 4: Annual Report filing.
Step 5: File NOT.
Step 6: Erosivity Waiver request.

Please note: SMARTS uses the term "Ad Hoc Reporting." Ad Hoc reporting consists of an exceedance report, non-storm water discharge reports and is more fully explained in Step 3. Also, the annual report is due September 1 of each year, also the erosivity waiver is considered an subset of the PRDs.

The Division of Construction provides a Help Desk for SMARTS application questions. The Help Desk number is (916) 715-4070.

PRDs, Regulatory Documents and Information

To apply for coverage of a project under a permit, it is necessary to file Permit Registration Documents (PRDs) with the appropriate RWQCB. The Construction General Permit (CGP) considers PRDs to consist of the Notice of Intent (NOI), Risk Level Determination, Site Maps, the Storm Water Prevention Pollution Plan (SWPPP), certification, and annual fees (not required on a per-Caltrans project basis at this time). The subtlety is that the NOI PRD is not a document but rather, is the process of online submittal of information using NOI entry tabs, including certification. Other items listed as PRDs are uploaded as attachments.

Currently, Caltrans uses a paper notification process that consists of submitting a Notice of Construction (NOC) as defined specifically in our MS4 permit. This was accomplished using either form CEM 2002, Notification of Construction, or CEM 2004, Notification of Construction (Desert Areas), and submitting a copy to the RWQCB. Even though they have a different name, they contain essentially the same as the electronic NOI.

Much of the data to complete the NOI data is available in the *Storm Water Data Report Attachment for SMARTS Input* (SWDR Attachment) which should be included in the RE pending file. See Appendix A for an example or visit the Division of Design's website at http://www.dot.ca.gov/hq/oppd/stormwtr/swdr.htm. If the SWDR Attachment is not available, use other information available in the project file or contact the project engineer.

A new PRD to the regulatory process is the Risk Level Determination (RLD). In SMARTS, the RLD is a data-entry form that uses project specific information. The information is obtained from the SWDR Attachment, which reflects the risk determination done for the PSE phase. The resident engineer must ensure that the construction window dates in the SWDR Attachment are still valid at the time of submittal into SMARTS. If the dates have changed, use the most current dates. Changes in the construction window could affect the Risk Level Determination and prompt the need for a change order. Consult with the project engineer, design storm water coordinator (DSWC), district constructions storm water coordinator (DCSWC) and the NPDES Coordinator as necessary.

The SWPPP PRD is the site-specific plan submitted by the contractor to and accepted by Caltrans. The SWPPP must comply with the contract and must be signed by the contractor's Qualified SWPPP Developer (QSD). It is submitted in SMARTS by uploading as a PDF attachment or series of attachments in the NOI tab. SMARTS limits uploading file sizes to 75 megabytes (MB) so it is necessary for reports larger than this to be divided into sections and upload as a group (e.g. 1 of 3, 2 of 3, etc.).

Other attachments can include site maps, photographs, email correspondence, cover/explanation letters, laboratory results, etc. (See Step 2 screen shot, page 27).

Roles

In the nomenclature of SMARTS, the state and regional water board staff are internal uses and Caltrans, dischargers and the public are external users. External users can enter, manage and/or comment on storm water data. Internal users have greater control over the data and have greater ability to generate reports on compliance.

SMARTS uses definitions specific to the CGP. Despite the appearance of new designated titles and corresponding levels of responsibility in the CGP, Caltrans ultimate legal responsibility for permit compliance on its projects does not change. Figure 1 shows the structure of users and their access.

The Legally Responsible Person (LRP) is the project proponent that posses a real property interest in the project. For projects on the State Highway System, various parties can be a project's LRP, including a local agency, a utility company, or a private individual working under an encroachment permit. For Caltrans, the LRP is the District Director. SMARTS allows the assignment of a back-up LRP (up to a maximum of three) who may perform the same duties. As the LRP has ultimate responsibility for the project under the permit, the LRP or back-up LRP may delegate much of the responsibility to an Approved Signatory (AS). The data entry duties may be further delegated but certification responsibilities remain with the LRP or AS.
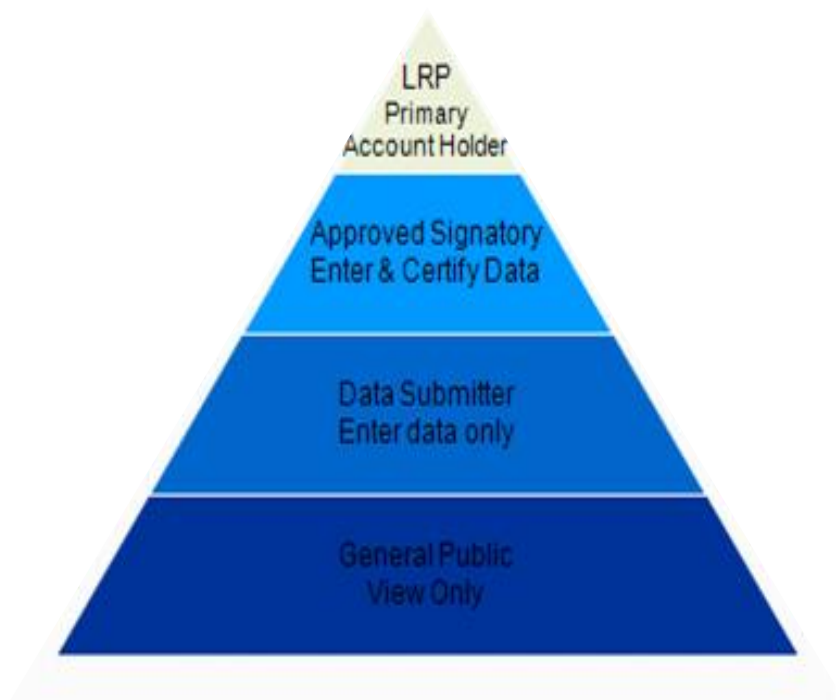
A dedicated SMARTS email address for each district director is established. This provides a method for the district director to keep all SMARTS related email in one location, since SMARTS informs the LRP of all activities occurring for the organization. The format for the email address is "LRP_Caltrans_District_X@dot.ca.gov". A list of those email addresses is located in Appendix B of this manual. Contact Ray Maldonado at (916) 445-1223 for access to the email.

The LRP may designate more than one AS. For example, the LRP in a tailored district may link the District NPDES Coordinator who would now have access to all projects linked to that LRP. The same LRP may then link a resident engineer to a project who would then also have access to all those same projects plus the projects from the parent district if that district director there linked them to a project.

For Caltrans construction projects, the LRP must designate the resident engineer as an AS. This is accomplished in SMARTS by linking to the resident engineer and by preparing a hard copy for the project records. Form CEM-2006, Legally Responsible Person Authorization of Approved Signatory, is the paper equivalent of SMARTS linking of the AS to the LRP. This form designates the roles of both the LRP and the AS for construction projects. The use of SMARTS does not negate the need to complete form CEM-2006 and keep a copy on file in the project records.

The LRP assigns authority to the AS to enter data and certify the NOI and other permit documents. The LRP, backup LRP, or AS can all assign authority to a data entry person (DEP). That enables the DEP to enter data or upload attachments. DEP cannot certify a NOI. Because a person is linked to all the LRP's projects once linked, and access is controlled by how the user profile is established and not by the linking process, a contractor cannot be linked into Caltrans projects. Doing so could potentially give them AS or even LRP status over Caltrans projects based solely on how they created their profile.

Each Caltrans district will have an organization identification (ID). The address associated with the organization ID is the mailing address of the district office for that district. The district organization ID is also necessary to resolve any computer glitches.

Step 1—Establishing SMARTS User Accounts

Use the screen shots in this step as a guide for establishing a new user profile. The LRP should be the first for the district to create their user profile and, in so doing, simultaneously establish the organization ID. Any subsequent users for a district will use that same organization ID when creating their user profile.

Linking is the delegation of authority in SMARTS and is described in Step 2 below. SMARTS allows the LRP to have three backup LRP user accounts. Typically, the Deputy Director of Construction, Deputy Director of Environmental, and other deputy level staff are the backup LRPs, but this may vary based on a specific district's organization. Consider alternatively the Deputy Director for Right of Way for demolition contracts, and the Deputy Director for Maintenance and Operations for encroachment permits.

Once the LRP creates a user profile and the organization ID is established, the following can be performed as staff are added in the system:

- LRP links to three backup LRPs.
- LRP or backup LRP link to the AS.
- LRP, backup LRP, or AS link to the DEP.

For example, District 4 uses the following reporting and linking structure:
1. LRP—*District Director*
2. Three back up LRPs
    - *DDD Construction*
    - *NPDES Program Manager*
    - *DDD Environmental*
3. Approved Signatory (AS)
    - *Construction Storm Water Coordinator*
    - *Resident Engineer*
    - *NPDES Coordinator*
4. Data Entry Person (DEP)
    - *Water Quality staff and RE staff*

Step 1.1   Starting the Process
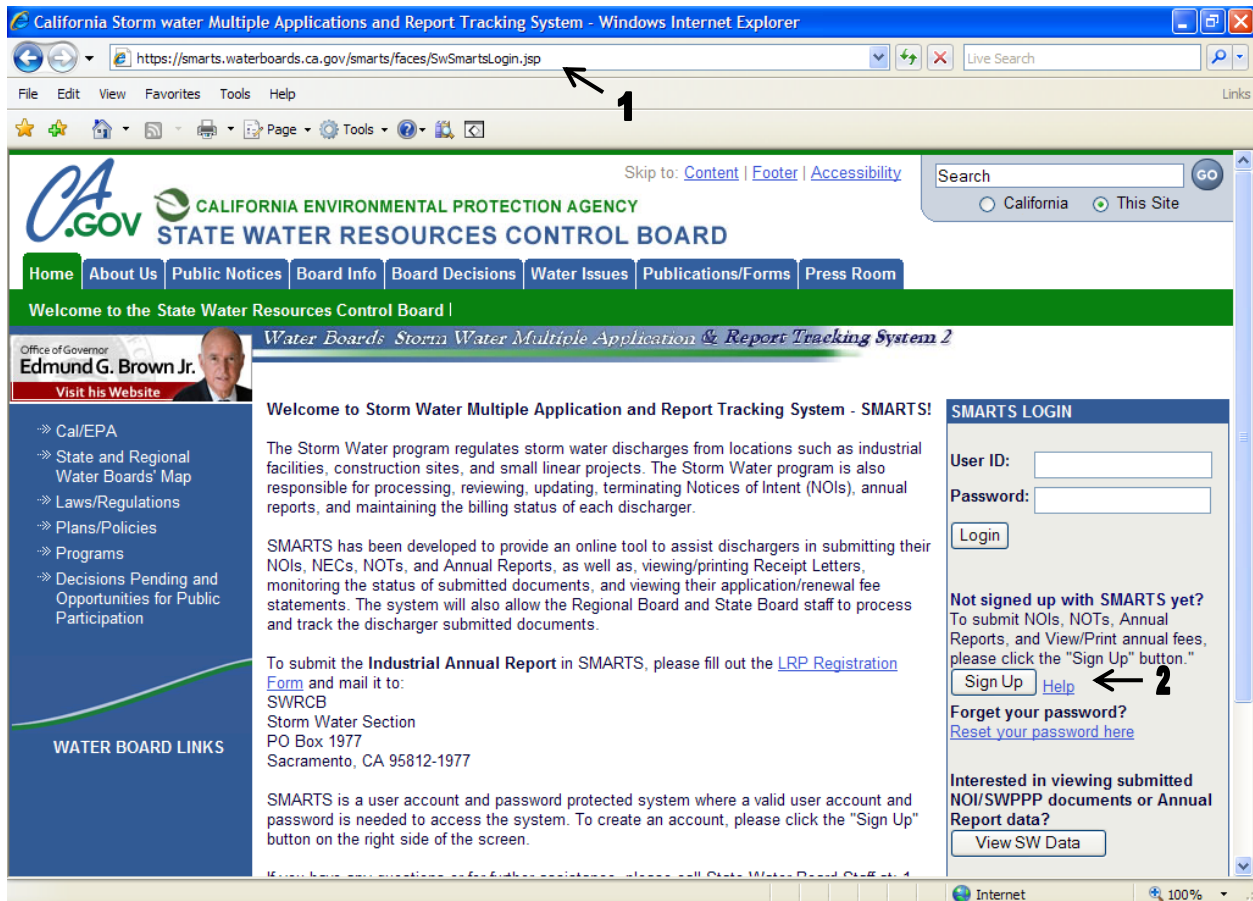
1. Web address https://smarts.waterboards.ca.gov/smarts/faces/SwSmartsLogin.jsp
2. First time users must click on the on the sign up button to begin the process.

Step 1.2   Selecting an access level

1. Select the appropriate level of access.
    - Only the District Director or a Deputy District Director should select the Legally Responsible Person option.
    - The Approved Signatory generally has the same authority as the LRP with the exception for delegating linking other signatories and for transferring LRP status should there be a change at the district director level. The resident engineer and Right of Way contract manager (for demolition contracts meeting CGP requirements) should be the project's AS. Others who need to enter or delete information or may need to certify documents should also select AS. This includes the Area Construction Senior, DSCWC, NPDES Coordinator.
    - The Data Entry Person can only upload documents and fill spaces in the tab forms and cannot certify the submittals. This should be reserved for staff personnel who will not be acting on behalf of the assigned AS or who may become a resident engineer in the future (it is difficult to change to a higher level once the profile is established).
    - For the definition of these terms, click on the "Construction User Account Definitions."
2. Continue to next step.
    - Note that if you selected 'LRP', another window will appear inquiring if you are applying for a new organization or if you are replacing an LRP for an existing organization. If the latter, click the appropriate option and a shortened version of the next screen will appear asking account details and security questions.

Step 1.3   Filling in the information

The screen shot shown is titled for the LRP but the same information is required for all three levels.

1. Enter your first name.
2. Enter your middle name (optional).
3. Enter your last name.
4. Enter your Caltrans email address. For district directors creating their LRP profile, use LRP_Caltrans_District_XX@dot.ca.gov format (see Appendix B) to avoid having an overflow of email.
5. Enter your public phone number formatted as xxx-xxx-xxxx.
6. Choose and enter a unique ID. Other than being 7 to 16 characters long, there are no requirements. It is suggested to use your employee number to avoid having multiple user IDs. Then check for availability by clicking the adjacent box. If used, choose a new ID.
7. Select 'State Agency' from the pull-down menu as the business type.
8. Use 'Caltrans District XX' to ensure consistency. For construction projects in a Region, use the parent district number (either 03 or 06)
9. Select 'USA address.'
10. For LRPs, use the district office address. For AS or DEP, use your office address.
11. For LRPs, use the district office city. For AS or DEP, use your office city.
12. California.
13. For LRPs, use the district office zip code. For AS or DEP, use your office zip code.

Step 1.3 Filling in the information (continued)

1. Select 'USA.'
2. Leave Federal Tax ID blank – that is not a required entry and not applicable for Caltrans.
3. There are five security questions that the system uses should you forget your password. All five need to be completed. From the pull-down menu, select the question you prefer and then fill in the appropriate response. Remember, you may need to answer these questions in the future so pick your question and answers carefully.
4. Fill in server security letters shown in the box to the left. These letters change each time the screen is entered. If the letters are not readable, your web browser probably needs to be updated.
5. Read certification statement and check box. Note that by establishing this profile, you are agreeing that your certification of documents is the same as if you signed the documents yourself in ink.
6. Click 'Continue to Complete Registration.'

Write down the organization ID and save for your records. SMARTS will generate a temporary password and email to the address provided. Once the email arrives (should only be a few minutes at most), repeat Step 1.1 and enter your newly created user ID and SMARTS-generated password to enter the system. Once in, SMARTS will open the 'Change Password' screen below to reset your password to one of your choosing.

Step 1.4   Changing your password

This screen appears after logging in for the first time, when you password expires, or when you click 'Change Password' on the main menu.

1. Enter the SMARTS generated password if a first time user. Otherwise enter your current password.
2. Enter a unique password of 7 to 16 characters in length.
3. Re-enter the same unique password.
4. Click 'Update' to reset the password. You will be returned to the main menu screen.

Step 1.5   Linking others

This is the main menu for SMARTS. Clicking on the headers takes you to the appropriate entry forms. To navigate back to this menu or other entry forms, open the pull-down menu from the 'Navigate To:' box in the upper right corner and select the desired location.

Delegations of authority are documented in SMARTS through the linking process. This process gives backup LRPs, Approved Signatories, and DEPs access to the projects under the responsible control of that LRP or AS that link them.

1. Click 'Manage Legal Responsible Person/Approved Signatory/Data Submitter' to link a LRP, AS, or DEP. The system will take you to the next screen.

Note that if you are a DEP, you will not see this option as you have no authority to delegate.

Step 1.5   Linking others (continued)

This is an example of a screen shot for Sarah Picker, who has rights to be an Assigned Signatory for some District 4 and District 2 projects. First time users will have no names listed in the table.

1. Click 'Line New Legal Responsible Person/Approved Signatory/Data Entry Person to Your Organization to get the next screen.
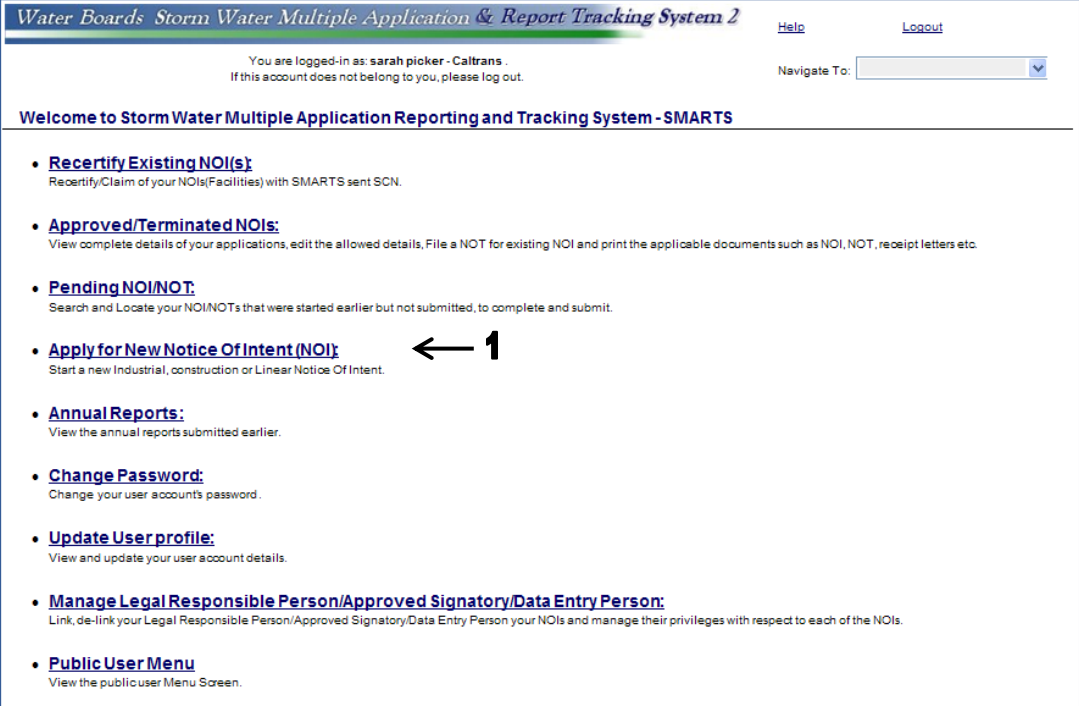
2. Enter the User ID of the person you desire to link and click 'search.' If the person has established their profile, details will appear. Click on the person to confirm the link. A LRP can link an AS or a DEP and AS can link in a DEP. If you are an AS or DEP attempting to link to a person in a higher level, you will get an error message saying that you are an AS/DEP and that you are not able to link to a LRP/AS. To accomplish this, you will need to contact the LRP or AS and request that they follow the process.

Step 2—Notice of Intent Submittal and Certification

The Notice of Intent (NOI) is to notify the RWQCB of a project, provide information on how compliance with the CGP will be maintained on the project, and request approval of the RWQCB to begin soil disturbing operations. A successful NOI process results in enrolling a project under the permit. Information necessary for the NOI consists of the PRDs -- the Notice of Intent (NOI), Risk Level Determination, Site Maps, the Storm Water Prevention Pollution Plan (SWPPP), certification, and annual fees (not required of Caltrans at this time. The project engineer provides much of the NOI and risk level information in the form of the SWDR Attachment. The contractor provides site maps, contact information, and the SWPPP.

Step 2.1   Starting a NOI

1. From the main menu, click 'Apply for New Notice of Intent (NOI)' to begin the process.

2. On the next screen, select 'Caltrans Construction Projects.'

Step 2.1   Starting a NOI (continued)

1. Select the appropriate Caltrans Organization. Once each district LRP creates the organization account, there will be 12 Caltrans Organizations.
2. Click 'Next.'

Step 2.2   Filling in the blanks

1. This slide shows the Operator/Owner field information in a faded grey as information already completed elsewhere and system populated here. These fields were filled in based on the district is selected on the previous slide.
2. Enter the first name of district director (LRP).
3. Enter the last name of district director (LRP).
4. Enter "District Director".
5. Public phone line for the district director.
6. Enter the district director's storm water email address - LRP_Caltrans_District_XX@dot.ca.gov. See Appendix B
7. Click 'Save and Continue.' 'Save and Exit' will result in the system retaining the information entered so far but then logging off.

Step 2.2   Filling in the blanks (continued)

Clicking 'Save and Continue' on the previous screen automatically opens the next tab 'Developer Info.' If you exited, just return to the NOI menu item and click the tab to continue. This tab is used to record the contractor's contact information.

1. Enter the contractor's company name. Ensure that it is the company's legal name as they write it and not a close approximation.
2. Enter the contractor's street address. This is the location where any payments or legal documents will be mailed.
3. Enter the contractor's city.
4. Enter the contractor's state.
5. Enter the contractor's zip code.
6. First name of WPC manager
7. Last name of WPC manager.
8. Enter an appropriate title such as 'WPC Manager.'
9. Phone number of WPC manager.
10. Email of WPC manager.
11. Click 'Save and Continue.'

Step 2.2   Filling in the blanks (continued)

1. For the site name, include the six-digit contract number, two-letter county designation, state route number and the project's common name or short project description. For example; "228594 CC 4 Widen Highway and Bridge."
2. Street address of project. If there is no project address, please provide street name
3. City where project is located or primarily located. If in a rural area, use the closest city.
4. County of project.
5. Regional board having jurisdiction.
6. Zip code of project.
7. Total area within the project limits – both disturbed and undisturbed. Available from the SWDR Attachment.
8. Resident engineer first name.
9. Resident engineer last name.
10. Enter "Resident Engineer".
11. Public RE office phone number.
12. Resident engineer's emergency phone number.
13. Resident Engineer's email address.
14. This should be for the center of the project and should be available on the SWDR Attachment.
15. This should be for the center of the project and should be available on the SWDR Attachment.
16. Total area of disturbed soils. Should be available from the SWDR Attachment.
17. Available from the SWDR Attachment for SMARTS Input .
18. Leave this field blank.
19. Available from the SWDR Attachment or by dividing item 17 by item 7.
20. Available from the SWDR Attachment.

Step 2.2   Filling in the blanks (continued)

1. Available from the SWDR Attachment or the project limits.
2. Generally the answer will be 'No.'
3. Leave blank unless the previous answer was 'Yes.'
4. Use the date the contractor anticipates first disturbing soil.*
5. Use the date the contractor anticipate all disturbed soils have been protected with permanent controls.*
6. Use the anticipated contract acceptance date.*
7. Click 'Construction.'
8. Click 'Transportation.'
9. Click 'Save and Continue.'

*Verify that the dates entered here are consistent with the dates used in the SWDR Attachment for calculating the anticipated project risk level. If the dates are inconsistent, the resident engineer should discuss with the DCSWC, PE, DSWC, and NPDES Coordinator to determine if a new risk level is appropriate for the project. SMARTS will also calculate a risk level for the project which should be checked against the contract specified risk level. A change order will be necessary if there is a change in risk level.

Step 2.2   Filling in the blanks (continued)

1. This information pertains to special requirements required by a local agency, usually when the local agency's MS4 permit or a building permit requires additional storm water elements. This information should be available in the SWDR Attachment.
2. If there is a 401 certification for the project, click 'Yes' and provide reference information to that certification. Otherwise, click 'No.' Check for details in the SWDR Attachment.

Step 2.2   Filling in the blanks (continued)

1. Available from the SWDR Attachment.
2. Contractor provides this information to resident engineer.

Step 2.2   Filling in the blanks (continued)

1. Enter the R Factor for the project. Obtain this from the SWDR Attachment or by using the SWRCB's maps by clicking the adjacent 'Find R Factor' box.*
2. Enter the K Factor for the project. Obtain this from the SWDR Attachment or by using the SWRCB's maps by clicking the adjacent 'Populate K Factor' box.*
3. Enter the LS Factor for the project. Obtain this from the SWDR Attachment or by using the SWRCB's maps by clicking the adjacent 'Populate LS Factor' box.*
4. SMARTS calculates this field.
5. SMARTS calculates this field.

*Latitude and longitude of the project must be entered before SMARTS can determine this value. If the SWDR Attachment data is used and it did not use the SWRCB's maps, upload the SWDR's calculations into SMARTS. It is recommended that the SMARTS tools be used and then checked against the SWDR Attachment's calculations. A difference between the two should be discussed with the person who prepared the calculation and the DCSWC.

Step 2.2   Filling in the blanks (continued)

1. SWDR Attachment.
2. SMARTS automatically populates the last three boxes. The risk level calculated by SMARTS should be the same value as in the special provisions for the project. If not, contact the PE, DCSWC, DSWC or NPDES coordinator for instructions.
3. Click 'Save and Continue.'

Step 2.2   Filling in the blanks (continued)

Caltrans does not pay bills or fees through SMARTS at this time. Do not fill in these fields. Do not erase fields if they have auto filled. For Caltrans construction contracts, these fields do not auto fill when NOI is being filled out by DEP but will auto fill if NOI is being filled out by AS or LRP.

Step 2.3   Attachments

Use this tab when it is necessary to upload risk analysis calculations and to upload the SWPPP and other relevant documents.

1. Click 'Upload Attachment.'
2. If this is a new NOI, this field will be blank.

Step 2.3   Attachments (continued)

1. This pull-down menu allows selection of a description of the attachment   Pull down menu choices are shown at right. 'Other Supporting Documentation' could include hand calculations for the K, post-construction water balance or ATS design and certification.
2. Enter document title.
3. Insert description of what is in the file.
4. Documents may need to be uploaded in several parts due to a file size limitation of 75 MB. For documents exceeding this amount, divide the attachment and upload each part separately following this process. Adjust file names to reflect multiple parts.
5. Browse for file.
6. Select the identified file and click 'Upload File.' Repeat 1-6 for additional documents or for the separate parts of one document
7. Files/Attachments uploaded will appear here as a list.

Step 2.4 Certification

1. After filling in the blanks on the previous tabs and uploading any documents, open the 'Certification' tab and click 'Perform Completion Check.'

Step 2.4   Certification (continued)

This screen shows the results of a completion check. If there were no errors, SMARTS would go directly to the certification screen (next page). Return to the indicated tabs, make corrections as indicated, return to the completion check screen and run the check again. Repeat until the certification screen appears.

Step 2.4   Certification (continued)

Either the LRP or the designated AS must certify the NOI submittal after reading the statements and ensuring the submittal is complete.

1. Read the statement and click the box.
2. Read the statement and click the box.
3. SMARTS will auto fill based on your user account information.
4. Click 'Certify Notice of Intent.'

Please note, only an AS or LRP can certify the NOI.

Step 2.5   Printing the NOI

Select the 'Print' tab to print out the various documents created in or uploaded into SMARTS.

1. Click 'Original NOI' if the RWQCB to obtain a hard copy of the NOI for the project files. If it is approved by the RWQCB, then a receipt letter will be uploaded into the project's on-line file and the 'Receipt Letter' box will become accessible. Rejected submittals will receive a return letter and require resubmitting the NOI which will become the 'Current NOI.'

Step 3—Ad Hoc Reporting and Continuous Reporting

Ad Hoc reporting is ongoing or continuous reporting of non-visible and effluent monitoring data and exceedances. Be prepared to enter ad hoc reports after the NOI is certified and approved by the RWQCB. Ad hoc information is used as raw data for the annual report, but the CGP also requires certain notifications be made on a real time basis, such as qualifying rain event sampling and analysis and exceedances based on the Risk Level determination.

The resident engineer (AS) or DEP enters ad hoc information into SMARTS; however, Ad Hoc information is prepared by the contractor and submitted to the Caltrans.

Ad hoc reports can be either "in-progress" or "submitted." In-progress reports are drafts and can be deleted. Once submitted, reports may only be remanded (the rejection of the document and its return for amendment). The LRP or AS can remand a submittal from a DEP while only the RWCQB can also remand a LRP/AS submitted report. A LRP can remand a DEP-submitted Annual Report as long as it is before September 1st. After September 1st, only the RWQCB can remand an Annual Report.

Each Ad Hoc report consists of a:
- General information tab.
- Monitoring locations tab.
- Raw Data tab.
- Daily Averages tab.
- Attachments tab.
- Certify tab.

Entering ad hoc report data provides the basis for the SWRCB's Storm Water Adhoc Report Monitoring (SWARM) database. Raw data consists of results of each sampling event for a specific monitoring location based on date and time, percentage of discharge, parameter, unit entry, analytical method, and method detection limit. A data summary table shows the raw data. Note there is a delete button that allows for deletion of information during input. Once a LRP/AS has certified the report, it can only be remanded by the RWCQB.

SMARTS Reporting Database (SWARM) Screen

SWARM Listing of Uploaded Reports

Laboratory reports are submitted in Ad Hoc reporting as attachments.

In the future, SMARTS will allow each monitoring location to have a CDF identifier (this is an acronym used in SMARTS, SMARTS literature does not define the term) for the raw data. This identifier is currently not in effect, but ultimately will be used for linking data to a MS excel spreadsheet template to upload all monitoring data one at a time.

There are also specific reporting requirements from projects that use an Active Treatment System (ATS). Within 24 hours of non-compliance reported to the SWRCB, the LRP or AS must notify the SWRCB via SMARTS. Data contained in that report includes:
- Date, time, place, description and rainfall data.
- Description of BMPs and corrective actions.
- Rain gauge data if greater than the compliance storm event.
  - ATS compliance storm event is a 10-year, 24-hour event.
- Any indication of toxicity. Also report to indications to the appropriate agency.
- Exceedance of Water Quality Standards – LRP report

Step 3.1   Creating an ad hoc report

1. Ad Hoc reporting is actually a subset of Annual Reporting. Click 'Annual Reports.'

Step 3.1   Creating an ad hoc report (continued)

2. After clicking on the Annual Reports link, this screen appears. If ad hoc reports have already been submitted, they will be listed on the bottom. Click 'New Ad Hoc Report' to add a new report.

3. From the 'Event Type' pull down menu, select the type of report.

Step 3.1   Creating an ad hoc report (continued)

4. Enter the start and end dates of the event.
5. Enter the recorded rainfall amount.
6. Enter the number of business days.
7. Click 'Save Event Details.'

Step 4—Annual Report

Each year, an annual report must be submitted to the SWRCB for their project(s) subject to the CPG. The report covers the period from July 1 through June 30 of the following year. Reports are due to the SWRCB no later than September 1st of each year. Any project active more than three months during the period must file an annual report. Either the LRP or the AS must certify the annual report.

The CGP (Section XVI Annual Reporting Requirements) requires the annual report to include:
- A summary and evaluation of all sampling and analysis, original laboratory report, chain of custody forms.
- The analytical method(s), method reporting unit(s), and method detection limit(s) of each analytical parameter.
- A summary of all corrective actions taken during the period.
- The identification of compliance activities or corrective actions that were not implemented.
- A summary of all violations of the CGP.
- Names of those who performed visual inspections, measurements, sampling, and tested collected samples.
- The date, time, place of inspections, sampling, and measurements including precipitation,
- Visual observation and sample collection exception records.
- Documentation of of all training for persons responsible for implementing theCGP.

Information submitted on an ongoing basis as ad hoc reports becomes a subset of the annual report. The annual report is a series of manually entered SMARTS forms and other information. This is a time consuming process. It is therefore advantageous to make necessary reporting as soon as results become available instead of entering the data at the end of the year. Sites with modest complexity can take 3 to 4 hours to complete. See Step 3 for details on ad hoc reporting.

SMARTS Annual Reports are divided into forms and report tabs and are described below:
- Form 1: General information and site address and Questions C through V.
- Form 2: Record for each authorized and unauthorized release.
- Form 3: Exceedances.
- Daily Average Summary—comes from raw data tab in SMARTS Ad Hoc reporting.
- Attachments.

See Appendix C for annual report forms 1, 2 and 3.

File a hard copy of the annual report in Category 20 of the project records.

SMARTS will not accept a NOT application without first filing an annual report unless the construction project has less than three months of active construction. For example, a project commencing soil disturbance on December 5, 2012, and completing on January 29, 2013, would not be required to submit an annual report September 1, 2013. A project starting on April 15, 2012, and completing on August 28, 2012, would need to submit an annual report on September 1, 2012, for the period April 15 to June 30 but would not need to submit a report for the period from July 1 to August 28 as it was less than 3 months in the reporting period.

Step 4.1   Creating an annual report

1. Click 'Annual Reports.'

2. Click 'Construction Annual Report.'

Step 4.2   Completing the annual report

This screen is the general information tab that will be autofilled by SMARTS.

After reviewing the information for accuracy, click 'Next.' If the information is not accurate, go to the change information under the "Appproved or Terminate NOI" tab and make the necessary corrections.

Step 4.2   Completing the annual report – Form 1

The Annual Report is composed of various forms. Form 1, shown above, consists of questions regarding the project and the SWPPP among other things. Work through each section (1) answering the questions (2) based on contractor submitted information. If the answer meets the exception requirements, usually a 'no' answer, then provide an explanation in the box (3).

Step 4.2   Completing the annual report – Form 2

Form 2 asks about authorized and unauthorized storm water discharges. This information should be available from the contractor's submittal but any discharge from the project not reported by the contractor should be included.

Fill in the fields as indicated.

1. Date of discharge.
2. Use the pull-down menu to select the classification of the discharge (see CGP Fact Sheet II.E, Order I.E and III.B among other sections).
3. Source and location of discharge.
4. Name
5. Characteristics of the source
6. Characteristics of the location
7. Corrective actions and implementation dates
8. Click 'Save.' The information just entered will be saved and a new line for the next discharge will appear. Repeat steps 1 thru 7 for each discharge.
9. When all discharge information has been entered, click 'Next.'

Step 4.2   Completing the annual report – Form 3

Form 3requests information regarding deficiencies in BMPs. In addition to ensuring compliance with the CGP, this information is also used to determine BMP effectiveness.

1. For each quarter, enter the BMP type, what was at issue, and how it was corrected. There can be multiple lines of information or no information (if no deficiencies found) in each box. This information should be available from the contractor's submittal but make sure all deficiencies are noted.
2. Click 'Save.' This is to ensure that the information is saved into the system and not erased when going to the next entry screen.
3. Click 'Next.'

Step 4.2   Completing the annual report – Daily Average Summaries

The 'Daily Average Summary' tab will be filled automatically by SMARTS. The table is based on Ad Hoc reporting. If the information is not accurate or if known information is not listed, an ad hoc report will need to be created before the annual report is certified and submitted.

Click 'Next.'

Step 4.3   Annual Report attachments

This tab allows for the uploading of special documents, such as contractors' training logs, sample test results, photographs, relevant letters, and other applicable documents.

1.   Click 'Upload Attachments.'

Step 4.3   Annual Report attachments (continued)

2. Select the format of the file from the pull-down menu – preferably PDF. While photographs (jpeg) can be uploaded, imbed them in a PDF document accompanied by adequate description of what the photograph is and why it is being submitted.
3. Enter an appropriately descriptive title
4. Enter a description that will link the attachment information referenced in a previous tab or other relevant information to grasp the intent at a glance.
5. If the file is larger than 75 MB, it will need to be broken into segments less than 75MB in size and each part uploaded separately. Use the same title and description for each segment but use this field to index each accordingly.
6. Click 'Browse…' Search for and the highlight file and click 'Upload File.'

Attached files are listed at the bottom of the tab. Repeat these steps until all files are uploaded.

Step 4.4 Annual Report certification and submittal

1. Click on the 'Certification' tab and this screen appears after the system runs a check on the submitted data. If there are errors or incomplete data, SMARTS will list them as shown here. Return to the previous tabs to make corrections and then return to certification.
2. If no error messages, click 'Next.' The remaining certification steps are similar to Step 2.4.

Step 5—Notice of Termination

The CGP requires performing certain tasks and notifying the RWQCB that the project is complete, poses no further risk to state or federal waters, and that the permit can be closed out with respect to the project. This is done through the Notice of Termination (NOT). Assistance in selecting the best method of demonstrating that final stabilization is obtained may be requested from the project engineer and landscape architect.

Once the documentation for closeout and final stabilization is complete, the LRP or AS will submit and certify the NOT in SMARTS. SMARTS will not accept an NOT application without an annual report.

Step 5.1   Starting a NOT

1. Click 'Pending NOI/NOT.'

Step 5.1   Starting a NOT (continued)

2. A list of projects for which you are the LRP, AS, or a DEP will appear. Click on the project application ID for your project. If there are no projects listed or the project you are seeking is not listed, you are either do not have authority for that project or a NOI has not been established for that project.

Note that you are taken by SMARTS to the NOI tabs; the NOT process and tab are part of the NOI process for SMARTS purposes.

3. Click NOTs

Step 5.2   Completing a NOT

SMARTS will auto-fill the section as the information was created as part of the NOI. If any of the information is incorrect, return to Step 2 and make corrections.

1. Click the bubble indicating the project is complete.
2. Using the, SWDR, SWDR Attachment or after verifying with the PE, fill in the appropriate box or boxes for the method used to demonstrate final stabilization. Normally, only one box will be checked.
3. Insert date project completed.
4. Answer the six questions. Note that an answer may require explanation in the following text box.

Step 5.2   Completing a NOT (continued)

5. Complete this section if the project is going into suspension. This would be used during winter suspensions or other long-term suspensions when the contractor will demobilize from the project. The RWQCB will not provide complete release from the permit but it will provide notice that the project is temporarily inactive. It is not necessary to complete this section if the project is completed.
6. These are used in rare situations. Check with the PE if uncertain of applicable.
7. Use if the property or parts of property are transferred to another owner. Rarely used for Caltrans projects but may arise in projects were there is work both on and off the state highway and the non-state highway work is being transferred back to the control of another agency.
8. Use if there is a reason to terminate permit coverage that does not fit into one of the previous reasons.
9. Click 'Save & Next.'

Step 5.2   Completing a NOT (continued)

10. Upload attachments (see Step 4.3)
11. Once all documents have been uploaded, click 'Next.'

Step 5.3   NOT Certification

1. Click 'NOT Certification.'
2. Follow the steps in Step 2.4 to complete the certification.

1. This screen is the result of certification and is the documentation that the NOT has been submitted for consideration by the RWQCB. Click 'Next.'

Step 5.3   NOT Certification (continued)

2. Click 'NOT Status.' You will need to check this tab periodically to know when the RWQCB has approved the NOT. No other documentation will be provided. A RWQCB may return the notice in which case it will be necessary to provide additional documentation or take other actions as directed in the RWQCB's response.

3. Click 'NOT Print.'
4. A dark grey box indicates that the RWQCB has provided a response. Click the desired box and a PDF document will appear. Activate the print process in that window to print the document, take the appropriate action required by the letter, and file a copy in the project records.

Step 6—Erosivity Waiver

If a project's R factor is less than or equal to five and the disturbed area is under five acres, an erosivity waiver may be sought. Approval results in exempting the project from CGP requirements. The timing of the erosivity waiver application can occur at any point in the project delivery process, but it is best determined before PS&E so that the appropriate specifications are included enabling contractors to bid accordingly.

Submitting an erosivity waiver in SMARTS is the same as creating a NOI up until the risk level data entry tab. Step 2 of this manual describes the process. When an R factor of five or less is entered in the risk tab, a screen will appear prompting the user to apply of an erosivity waiver.

On the screen's attachment tab, upload the following:
- EPA Form 7500-62 (revised 11/08).
- Caltrans CEM 2005.
- Copy of a screen shot of the Rainfall Erosivity Factor calculator for project.
- Vicinity map.

The Rainfall Erosivity Factor calculator and the Low Erosivity Waiver Certification, EPA Form 7500-62 (revised 11/08) can be found at: http://cfpub.epa.gov/npdes/stormwater/waiver.cfm

Step 6.1   Erosivity Waiver application

1. Complete the NOI as described in Step 2 above through to the Risk tab and enter the R factor from the SWDR Attachment. If it is equal to or less than five, SMARTS will show the notice at the bottom of the screen.
2. If there is a probability that a change in projects conditions will move the project under CGP conditions, click 'Submit NOI.' Otherwise, click 'Submit Erosivity Waiver.'
3. Click 'Save & Continue.'

Step 6.1   Erosivity Waiver application (continued)

4. Click 'Attachments.'
5. Upload relevant attachments (see Step 4.3), including the project-specific EPA Erosivity Waiver form, vicinity map, R factor calculation.

6. Perform the completion check for the waiver followed by the certification of the request. See Step 2.4.

Print copies of the submittal for the project records and to document the request. Visit the 'Status History' tab until the RWQCB either grants or declines the request.

Appendix A—SWDR Attachment For SMARTS Input

SWDR ATTACHMENT FOR SMARTS INPUT

Construction General Permit (CGP)

Permit Registration Document

Background of Information Transfer to RE

The National Pollutant Discharge Elimination System (NPDES) General Permit For Storm Water Discharges Associated with Construction and land Disturbance Activities Order No. 2009-0009-DWQ NPDES No CAS000002 (CGP), was issued September 2, 2009 and is effective July 1, 2010. This new permit has Permit Registration Documents (PRD) that will be required to be filed electronically in the SMARTS system.

Caltrans currently has its own NPDES permit (order No. 99-06-DWQ), which requires the submittal of a Notice of Construction (NOC) form 30 days prior to the start of construction and to ultimately file a Notice of Construction Completion (NOCC) form when the project is stabilized and completed. The project engineer is currently responsible for calculating and gathering the information for filing the NOC form and providing this information to the District NPDES coordinator. Completing and submitting the NOCC form is the responsibility of the Construction Resident Engineer (RE). The Caltrans permit and the CGP both require a Storm Water Pollution Prevention Plan (SWPPP) to be available at the job site for regulatory review. The SWPPP is prepared by the contractor and approved by the RE. The Caltrans NPDES permit is currently under review for renewal and until it is finalized, the NOC and NOCC forms are still required for compliance. Currently, Caltrans is not required to submit into SMARTs, however if the regional board provides written justification that a certain project needs to be registered in SMARTS, then Caltrans would have to register the project in SMARTS.

Caltrans has been told that the new NPDES permit is going to be approved in late 2011. As such, Caltrans needs to start to prepare design documents for compliance with the new CGP and be prepared to provide the necessary information for the RE to be able to enter into the SMARTS system.

The SWDR completed at PS&E will contain the necessary design information to input into SMARTS. However, the SMARTS system also requires information such as a SWPPP, storm water manager, RE name, Contractor name, QSD/QSP names, and certification of the Notice of Intent (NOI) PRD information. In addition, it also requires data entry and reporting throughout the construction period; REAPS, Quarterly reporting, BMP maintenance, annual reports, and sampling data. Lastly, many projects do not have their permits at PS&E and addendums are added to contract documents to address additional 401 requirements that will be part of the SWPPPs and then entered into SMARTS for compliance. For these reasons, it is expected that construction staff will enter all of the information into SMARTS. The PE will be responsible for preparing the design information necessary to enter into SMARTS and to support Construction for any contract change orders, including those related to stormwater.

SWDR ATTACHMENT FOR SMARTS INPUT

DESIGN INFORMATION FOR RE FILE

The following information is based on the PS&E design plans and specifications. If contract amendments or change orders are made after the design is complete, then the information should be updated by construction, as appropriate.

Enter the following data into the CGP SMARTS Notice of Intent-Site Information page.

1. **Total site size** (acres); for project area use Caltrans R/W x post mile limits (begin-end) on plan sheets.

Total site size _____ acres

2. Enter **latitude and longitude** in decimal degrees to 5 significant figures. Use a location from the center of the project. This information can be obtained from Survey information, GPS units, Google earth, CT Earth, or other mapping software.

Latitude: _____

Longitude: _____

3. **Total Area to be Disturbed** (total Disturbed Soil Area (DSA)): This information is already calculated and can be taken from section one of the SWDR. It is should be described in acres.

DSA _____ acres

4. **Imperviousness before Construction (percentage)** - This is calculated as the total impervious area of the project area divided by the total project area (see total site size), multiplied by 100. The impervious area is all paved areas or hard surfaces within the project limits.

Impervious area before construction % _____

5. **Percent of total disturbed (percentage)**; This should be calculated by dividing the total disturbed soil area by the total project area and multiply by 100.

Percent of Total disturbed area % _____

6. **Imperviousness after Construction (percentage)**, This should be calculated by adding all impervious area paved and hard surfaces based on the final design within project limits from above and dividing by the total project area from above multiply by 100.

Impervious area after construction % _____

7. **Mile Post Marker**, enter the approximate post mile at the center of the project or take the average of the "begin" and "end" post mile markers from the title sheet.

Mile post Marker_____

SWDR ATTACHMENT FOR SMARTS INPUT

8. **Is the construction site part of a larger common plan of development**? Yes or No; in most cases mark no for Caltrans projects, as this is intended for developers (in accordance with the EPA definitions referenced by the CGP in 40 CFR title 22). This clarification is based on direction from the State Board. Get a confirmation with the Design Stormwater coordinator to determine if there is a special case project where the "common plan of development" may apply. No <u>X</u>

9. **Name of development**. Mark "Not Applicable (N/A)" in most cases.

Name of plan or development: <u>N/A</u>

10. **Construction Commencement Date**, mm/dd/yyyy. The PE provides the estimated construction start date from the cover of the SWDR. The actual construction start date should be used to input into SMARTS. After the contract is awarded, the RE will use an updated start date (if different) when entering in SMARTS. The RE needs to be aware of the original date provided by Design, as this date was used to calculate the design information including the Risk Level Determination. If the actual start date is different, construction should coordinate with the PE to determine if the Risk Level has changed.

Construction Commencement Date, <u>mm/dd/yyyy.</u>

11. **Complete Grading Date/Complete Project Date**; The PE provides the estimated construction completion date from the cover of the SWDR to be used for both of these inputs. After the contract is awarded, the RE will use an updated completion date (if different) when entering in SMARTS. The RE needs to be aware of the original completion date provided by Design, as this date was used to calculate the design information including the Risk Level Determination. If the completion date is different, construction should coordinate with the PE to determine if the Risk Level has changed.

Complete Grading Date/Complete Project: <u>mm/dd/yyyy.</u> Use the same date for both inputs, unless instructed otherwise.

12. **Does the Stormwater from the construction site discharge directly or indirectly into waters of the United States.**

Indirect discharge <u>(Y/N)</u> - If yes, list name(s) of receiving water(s) _____

Direct discharge <u>(Y/N)</u> - If yes, list name(s) of receiving water(s) _____

13. **Risk Level**; the combined project risk level is calculated using the sediment risk factor and the water body risk factor to give one overall project risk level. Use the Caltrans risk level determination guidance, (see the Storm water design web page). Attach all risk calculations.

R factor value _____

K factor value _____

LS factor value _____

SWDR ATTACHMENT FOR SMARTS INPUT

Receiving water risk comes from the state water resources control board mapping of water bodies for 303-d listing or TMDLs for sediment or water body with the beneficial use of cold and spawn and migratory. The input will either be high= yes and low=no;

Receiving water risk_____, (yes or no)

The dates used for determining the project risk level and other design elements of the project required for CGP compliance are dependent on having the same sediment risk factor. This is a critical element for compliance, as modifying the estimated construction dates may cause the sediment risk factor to change and ultimately modify the overall project risk factor. This could impact the projects CGP compliance requirements and the assumptions used for the design documents and engineers estimate.

14. Provide electronic copy of plan sheets in .pdf format that can be loaded to SMARTS, burn a CD for the RE to use for the project. The Title sheet can be used as the site map.

Appendix B—Established LRP Email Addresses

DISTRICT	EMAIL ACCOUNT NAME	EMAIL ADDRESS
1	LRP Caltrans District 1	lrp_caltrans_district_1@dot.ca.gov
2	LRP Caltrans District 2	lrp_caltrans_district_2@dot.ca.gov
3	LRP Caltrans District 3	lrp_caltrans_district_3@dot.ca.gov
4	LRP Caltrans District 4	lrp_caltrans_district_4@dot.ca.gov
5	LRP Caltrans District 5	lrp_caltrans_district_5@dot.ca.gov
6	LRP Caltrans District 6	lrp_caltrans_district_6@dot.ca.gov
7	LRP Caltrans District 7	lrp_caltrans_district_7@dot.ca.gov
8	LRP Caltrans District 8	lrp_caltrans_district_8@dot.ca.gov
9	LRP Caltrans District 9	lrp_caltrans_district_9@dot.ca.gov
10	LRP Caltrans District 10	lrp_caltrans_district_10@dot.ca.gov
11	LRP Caltrans District 11	lrp_caltrans_district_11@dot.ca.gov

Appendix C—Annual Report Forms

GENERAL INFO

A. Site Owner Information

    Owner Name: Owner Contact:

    Owner Address: E-Mail:

    City: Phone:

    State: Zip:

B. Site Information

    Site Business Name: Site Contact:

    Site WDID No: E-Mail:

    Physical Address: Phone:

    City: State:

    Zip:

FORM 1

C. STORMWATER POLLUTION PREVENTION PLAN (SWPPP)

C.1. Has a SWPPP been prepared by a Qualified SWPPP Developer (QSD) for the construction project? ☐ YES ☐ NO

    If NO, Explain:_____

C.2. Does the SWPPP include a Construction Site Monitoring Program (CSMP) section/element? ☐ YES ☐ NO

    If NO, Explain:_____

C.3. Are these documents kept onsite? ☐ YES ☐ NO

    If NO, Explain:_____

D. GOOD SITE MANAGEMENT "i.e. HOUSEKEEPING"

D.1. Were good site management "i.e. housekeeping" measures for construction materials implemented on-site in accordance with CGP and SWPPP? ☐ YES ☐ NO

    If NO, Explain:_____

D.1.a. Was an inventory of the products used and/or expected to be used conducted?

                                                     ☐ YES ☐ NO

    If NO, Explain:_____

D.2. Were required good site management "i.e. housekeeping" measures for waste management implemented on-site in accordance with CGP and SWPPP?

                                                     ☐ YES ☐ NO

    If NO, Explain:_____

D.2.a. Is there a spill response and implementation element of the SWPPP?

☐ YES ☐ NO

If NO, Explain:_____

D.3. Were required good site management "i.e. housekeeping" measures for vehicle storage and maintenance implemented on-site in accordance with CGP and SWPPP?

☐ YES ☐ NO

If NO, Explain:_____

D.4. Were required good site management "i.e. housekeeping" measures for landscape materials implemented on-site in accordance with CGP and SWPPP?

☐ YES ☐ NO

If NO, Explain:_____

D.5. Was a list of potential pollutant sources developed? ☐ YES ☐ NO

If NO, Explain:_____

D.6. Were required good site management "i.e. housekeeping" measures to control air deposition of site materials and from site operations implemented on-site?

☐ YES ☐ NO

If NO, Explain:_____

E. NON-STORM WATER MANAGEMENT

E.1. Were measures to control all non-storm water discharges during construction implemented? ☐ YES ☐ NO

If NO, Explain:_____

E.2. Were vehicles washed in such a manner as to prevent non-storm water discharges to surface waters or to MS4 drainage systems?

☐ YES ☐ NO ☐ N/A

If NO, Explain:_____

E.3. Were streets cleaned in such a manner as to prevent unauthorized non-storm water discharges from reaching surface waters or MS4 drainage systems?

☐ YES ☐ NO

If NO, Explain:_____

F. EROSION CONTROLS

F.1. Were required erosion controls implemented on-site in accordance with CGP and SWPPP? ☐ YES ☐ NO

If NO, Explain:_____

G.   SEDIMENT CONTROLS

G.1.   Were required sediment controls implemented on-site in accordance with CGP and SWPPP?   ☐ YES   ☐ NO

   If NO, Explain:_____

G.2.   Were immediate access roads inspected on a daily basis?   ☐ YES   ☐ NO

   If NO, Explain:_____

H.   RUN-ON AND RUN-OFF CONTROLS

H.1.   Was all site run-on and run-off effectively managed?   ☐ YES   ☐ NO

   If NO, Explain:_____

H.2.   Did Risk level 2 dischargers monitor and report run-on from surrounding areas if there was reason to believe run-on may have contributed to an NAL exceedance?   ☐ YES   ☐ NO   ☐ N/A

   If NO, Explain:_____

I.   RAIN EVENT ACTION PLAN (REAP)

I.1.   Were REAPs developed 48 hours prior to all likely precipitation events (50% or greater probability of producing precipitation)?   ☐ YES   ☐ NO

   If NO, Explain:_____

I.2.   Did the REAPs developed meet the minimum criteria listed in the CGP?

   ☐ YES   ☐ NO

   If NO, Explain:_____

J.   INSPECTION, MAINTENANCE AND REPAIR

J.1.   Were all site inspections, maintenance, and repairs performed or supervised by a Qualified SWPPP Practitioner (QSP)?   ☐ YES   ☐ NO

   If NO, Explain:_____

J.2.   Were site inspections conducted weekly and at least once each 24-hour period during extended storm events?   ☐ YES   ☐ NO

   If NO, Explain:_____

J.3.   Were post rain event inspections conducted?   ☐ YES   ☐ NO

   If NO, Explain:_____

J.4.   Do your inspection forms/checklists meet the minimum criteria listed in the CGP?

   ☐ YES   ☐ NO

   If NO, Explain:_____

J.5.   During any site inspection was BMP maintenance or repairs required?

   ☐ YES   ☐ NO

   If NO, Explain:_____

J.6.   If BMP maintenance/repair or design change was needed, did implementation begin within 72 hours? ☐ YES ☐ NO ☐ N/A

If NO, Explain:_____

K.   VISUAL MONITORING

K.1.   Within 2 business days (48 hours) after each qualified rain event, were visual inspections conducted in compliance with the CGP? ☐ YES ☐ NO

If NO, Explain: _____

K.2.   Were all storm water discharges that occurred from storage or containment systems visually observed prior to discharge? ☐ YES ☐ NO

If NO, Explain: _____

K.3.   Were the time, date, and rain gauge reading recorded for each qualifying rain event? ☐ YES ☐ NO

If NO, Explain: _____

K.4.   Within 2 business days (48 hours) prior to each predicted rain event, were visual inspections conducted in compliance with the CGP? ☐ YES ☐ NO

If NO, Explain:_____

K.5.   Are all visual inspection records retained on-site? ☐ YES ☐ NO

If NO, Explain: _____

L.   WATER QUALITY SAMPLING AND ANALYSIS

L.1.   How many qualifying storm events (producing precipitation of 0.5 inch or more at the time of discharge) occurred this past reporting year? _____

L.2.   How many qualifying storm events (producing precipitation of 0.5 inch or more at the time of discharge) were sampled? _____

Explain Un-sampled events: _____

L.3.   For the sampled events, did you collect three samples, at minimum (representative of the flow and characteristics) each day of discharge per qualified event?

☐ YES ☐ NO ☐ N/A

If NO, Explain: _____

L.4.   Were grab samples analyzed for pH and/or turbidity? (Analytical data must be entered in the RAW DATA tab in SMARTS)? ☐ YES ☐ NO ☐ N/A

If NO, Explain: _____

L.5.   Were Active Treatment System (ATS) effluent samples taken? (Applies to projects that deployed ATS) ☐ YES ☐ NO ☐ N/A

M.   NON-STORM WATER DISCHARGE MONITORING

M.1.   Were all drainage areas monitored for authorized/unauthorized non-storm water discharges quarterly? ☐ YES ☐ NO

If NO, Explain: _____

M.2. Did visual observations indicate any authorized/unauthorized non-storm water discharges? ☐ YES ☐ NO

       If YES, complete Form 2

M.3. Were effluent samples taken of the authorized/unauthorized non-storm water discharge? (Analytical data must be entered into the RAW DATA tab in SMARTS)

                                         ☐ YES ☐ NO ☐ N/A

       If NO, Explain: _____

M.4. Were the effluent samples sent to a laboratory certified for such analyses by the State Department of Health Services? ☐ YES ☐ NO ☐ N/A

       If NO, Explain: _____

M.5. Were unauthorized non-storm water discharges eliminated?

                                         ☐ YES ☐ NO ☐ N/A

       If NO, Explain: _____

N.   NON-VISIBLE POLLUTANT MONITORING

N.1. Were any breaches, malfunctions, leakages, or spills observed during a visual inspection?
                                         ☐ YES ☐ NO

N.2. How many potential discharges of non-visible pollutants were identified? _____

N.3. For each discharge event (of non-visible pollutants), were samples collected in compliance with the CGP? (Analytical data must be entered into the RAW DATA tab in SMARTS) ☐ YES ☐ NO ☐ N/A

       If NO, Explain: _____

N.4. For each discharge event was a comparison sample collected (uncontaminated sample that did not come into contact with the pollutant)? (Analytical data must be entered into the RAW DATA tab in SMARTS) ☐ YES ☐ NO ☐ N/A

       If NO, Explain: _____

O.   WATERSHED MONITORING

O.1. Are you part of a qualified regional watershed-based monitoring program approved by the Regional Water Board? ☐ YES ☐ NO

P.   RECORDS

P.1. Are all records of all storm water monitoring information retained on-site?

                                         ☐ YES ☐ NO

       If NO, Explain: _____

Q.   NAL EXCEEDANCES

Q.1. Were any Numeric Action Levels (NALs) exceeded? ☐ YES ☐ NO

If NO or N/A, Skip to next Section

Q.2.   Were corrective actions taken to address the NAL exceedances?

            ☐ YES   ☐ NO   ☐ N/A

       If NO, Explain: _____

       If YES, please provide information about the corrective actions taken on Form 3

Q.3.   Were analytical results from any/all NAL exceedances submitted electronically to the State Water Board no later than 10 days after the conclusion of the storm event?

            ☐ YES   ☐ NO   ☐ N/A

       If NO, Explain: _____

Q.4.   Were any NAL Exceedance Reports submitted to the Regional Water Board?

            ☐ YES   ☐ NO   ☐ N/A

T.   TRAINING

T.1.   Was a Qualified SWPPP Practitioner (QSP) in reasonable charge of SWPPP implementation?   ☐ YES   ☐ NO

       If YES, Provide Name: _____

       and Certificate Number: _____

       If NO, Explain: _____

T.2.   Were all individuals conducting BMP installation, inspection, maintenance and repairs trained appropriately?   ☐ YES   ☐ NO

       If NO, Explain: _____

T.3.   Are complete training records kept on-site and available upon request?

            ☐ YES   ☐ NO

       If NO, Explain:_____

U.   AUTHORIZED NSWDs DISCHARGED

U.1.   were any authorized NSWDs discharged observed from July-September?

            ☐ YES   ☐ NO

       If YES, fill out FORM 2

U.2.   Were any authorized NSWDs discharged observed from October-December?

            ☐ YES   ☐ NO

       If YES, fill out FORM 2

U.3.   Were any authorized NSWDs discharged observed from January-March?

            ☐ YES   ☐ NO

       If YES, fill out FORM 2

U.4.   Were any authorized NSWDs discharged observed from April-June?

            ☐ YES   ☐ NO

If YES, fill out FORM 2

V.   UNAUTHORIZED NSWDs DISCHARGED

V.1.   Were any unauthorized NSWDs discharged observed from July-September?

☐ YES   ☐ NO

If YES, fill out FORM 2

V.2.   Were any unauthorized NSWDs discharged observed from October-December?

☐ YES   ☐ NO

If YES, fill out FORM 2

V.3.   Were any unauthorized NSWDs discharged observed from January-March?

☐ YES   ☐ NO

If YES, fill out FORM 2

V.4.   Were any unauthorized NSWDs discharged observed from April-June?

☐ YES   ☐ NO

If YES, fill out FORM 2

FORM 2

DATE/TIME OF OBSERVATION	AUTHORIZED OR UNAUTHORIZED (CHECK ONE)	SOURCE AND LOCATION OF NSWD	NAME OF NSWD	DESCRIBE NSWD CHARACTERISTICS Indicate whether NSWD is clear, cloudy, or discolored, causing staining, contains floating objects or oil sheen, has odors, etc.		DESCRIBE ANY REVISED OR NEW BMPs AND PROVIDE THEIR IMPLEMENTATION DATE
				At the NSWD Source	At the NSWD Drainage Area and Discharge Location	
___/___/___ ____:____ AM☐ PM☐	Authorized ☐ Unauthorized ☐					
___/___/___ ____:____ AM☐ PM☐	Authorized ☐ Unauthorized ☐					
___/___/___ ____:____ AM☐ PM☐	Authorized ☐ Unauthorized ☐					
___/___/___ ____:____ AM☐ PM☐	Authorized ☐ Unauthorized ☐					
___/___/___ ____:____ AM☐ PM☐	Authorized ☐ Unauthorized ☐					

FORM 3

	Enter a general summary of any BMP deficiencies identified for each quarter and the corrective actions taken. Maximum up to 1000 characters.
July-Sept Quarter	
Oct-Dec Quarter	
Jan-March Quarter	
April-June Quarter	